



Docket No.: 013436.0235PTUS
(Bortolini 6-7-1)
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Edward J. Bortolini et al.

Application No.: 09/766736

Confirmation No.: 1298

Filed: January 22, 2001

Art Unit: 2623

For: DISTRIBUTED BROADBAND CABLE
MODEM TERMINATION SYSTEM

Examiner: U. Raman

**AFFIDAVIT FILED UNDER 37CFR 1.47(A) IN SUPPORT OF A PETITION
TO ACCEPT THE FILING OF A RULE 131 DECLARATION IN THE ABSENCE OF
ALL OF THE INVENTORS' SIGNATURES**

1. The inventors named in this Application, Edward J. Bortolini, Chia Chang Li, and Roger W. Loots, are the inventors named in the Present Application, Serial Number 09/766736, filed on January 22, 2001.

2. The inventors Edward J. Bortolini, Chia Chang Li, and Roger W. Loots executed both the Declaration (copy attached hereto as Exhibit A) in the Present Application and an Assignment of the Present Application (copy attached hereto as Exhibit B), assigning all rights in the invention described and claimed in the Present Application to Lucent Technologies, Inc. (termed "Applicant" herein).

3. The undersigned James Graziano (termed "Attorney of Record" herein) is an attorney for Applicant.

4. Attorney of Record in the Present Application, forwarded a copy of the Rule 131 Declaration to the inventors Edward J. Bortolini, Chia Chang Li, and Roger W. Loots and has received confirmation that such copy was forwarded.

5. Attorney of Record communicated with the inventor Edward J. Bortolini, located at a last known address of 18 Shady Hollow, Nederland, Colorado 80466, to request that inventor Edward J. Bortolini execute the Rule 131 Declaration for the present Application.

6. Attorney of Record communicated with Chia Chang Li, located at a last known address of 26 Longview Drive, Holmdel, New Jersey 07733, to request that inventor Chia Chang Li execute the Rule 131 Declaration for the present Application.

7. Attorney of Record communicated with Roger W. Loots, located at a last known address of 3515 Buffalo Avenue, Broomfield, Colorado 80020, to request that inventor Roger W. Loots execute the Rule 131 Declaration for the present Application.

8. The inventors Edward J. Bortolini, Chia Chang Li, and Roger W. Loots have failed to execute the Rule 131 Declaration for the present Application in a timely manner as required by the Rules of the USPTO.

9. The inventors Edward J. Bortolini, Chia Chang Li, and Roger W. Loots have agreed in the Assignment filed in the Present Application that "We authorize Lucent Technologies Inc. to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.", and also "We agree that, when requested, we shall, without charge to Lucent Technologies Inc. but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.".

10. The inventor Edward J. Bortolini has indicated that he wishes to receive additional compensation for the execution of the Rule 131 Declaration required to perfect the filing of the Present Application that describes and claims the invention made by the inventors Edward J. Bortolini, Chia Chang Li, and Roger W. Loots.

11. The inventors Chia Chang Li, and Roger W. Loots have failed to respond to repeated attempts to contact them via Registered Mail and Telephone calls. These attempts were delivery of the Rule 131 Declaration required to perfect the filing of the Present Application that describes and claims the invention made by the inventors Edward J. Bortolini, Chia Chang Li, and Roger W. Loots and subsequent requests for them to execute the Rule 131 Declaration required to perfect the filing of the present Application that describes and claims the invention made by the inventors Edward J. Bortolini, Chia Chang Li, and Roger W. Loots, respectively.


11. The inventors Edward J. Bortolini, Chia Chang Li, and Roger W. Loots have executed Employment Agreements (attached hereto as Exhibits C, D, and E, respectively) with Applicant dated 1 March 1991, 27 July 1998, and 3 July 1978, respectively, which Employment Agreements specifically transfer all right, title, and interest in and to any intellectual property to Applicant which intellectual property shall be and remain the sole and exclusive property of Applicant (Section A of the Employment Agreements).

12. The inventors Edward J. Bortolini, Chia Chang Li, and Roger W. Loots have, by their above-described actions and inaction, constructively refused to sign the Rule 131 Declaration required to perfect the filing of the Present Application that describes and claims the invention made by the inventors Edward J. Bortolini, Chia Chang Li, and Roger W. Loots.

13. The undersigned Attorney of Record has personal knowledge of the above-recited facts relating to the constructive refusal of the inventors Edward J. Bortolini, Chia Chang Li, and Roger W. Loots to sign the Rule 131 Declaration in the Present Application, and collected the attached Exhibits from official corporate records.

14. I further declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

14 SEPTEMBER 2016
Date


James Graziano

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

Declaration and Power of Attorney

As the below named inventor, I hereby declare that:

My residence and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **DISTRIBUTED BROADBAND CABLE MODEM TERMINATION SYSTEM** the specification of which *is attached hereto*.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment, if any, specifically referred to in this oath or declaration.

I acknowledge the duty to disclose all information known to me which is material to patentability as defined in Title 37, Code of Federal Regulations, 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

None

I hereby claim the benefit under Title 35, United States Code, 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

None

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

EXHIBIT A

I hereby appoint the following attorney(s) with full power of substitution and revocation, to prosecute said application, to make alterations and amendments therein, to receive the patent, and to transact all business in the Patent and Trademark Office connected therewith:

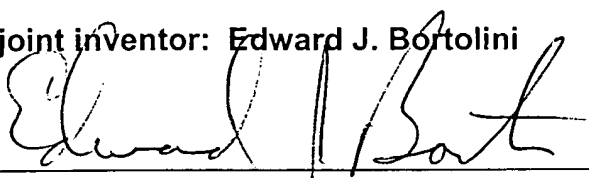
Thomas J. Bean	(Reg. No. 44528)
Lester H. Birnbaum	(Reg. No. 25830)
Richard J. Botos	(Reg. No. 32016)
Jeffery J. Brosemer	(Reg. No. 36096)
Kenneth M. Brown	(Reg. No. 37590)
Donald P. Dinella	(Reg. No. 39961)
Guy Eriksen	(Reg. No. 41736)
Martin I. Finston	(Reg. No. 31613)
William S. Francos	(Reg. No. 38456)
Barry H. Freedman	(Reg. No. 26166)
Julio A. Garceran	(Reg. No. 37138)
Jimmy Goo	(Reg. No. 36528)
Anthony Grillo	(Reg. No. 36535)
Stephen M. Gurey	(Reg. No. 27336)
John M. Harman	(Reg. No. 38173)
Matthew J. Hodulik	(Reg. No. 36164)
Michael B. Johannesen	(Reg. No. 35557)
Mark A. Kurisko	(Reg. No. 38944)
Irena Lager	(Reg. No. 39260)
John B. MacIntyre	(Reg. No. 41170)
Christopher N. Malvone	(Reg. No. 34866)
Scott W. McLellan	(Reg. No. 30776)
Martin G. Meder	(Reg. No. 34674)
John C. Moran	(Reg. No. 30782)
Michael A. Morra	(Reg. No. 28975)
Gregory J. Murgia	(Reg. No. 41209)
Claude R. Narcisse	(Reg. No. 38979)
Joseph J. Opalach	(Reg. No. 36229)
Neil R. Ormos	(Reg. No. 35309)
Eugen E. Pacher	(Reg. No. 29964)
Jack R. Penrod	(Reg. No. 31864)
Gregory C. Ranieri	(Reg. No. 29695)
Scott J. Rittman	(Reg. No. 39010)
Ferdinand M. Romano	(Reg. No. 32752)
Eugene J. Rosenthal	(Reg. No. 36658)
Bruce S. Schneider	(Reg. No. 27949)
Ronald D. Slusky	(Reg. No. 26585)
David L. Smith	(Reg. No. 30592)
Ozer M. N. Teitelbaum	(Reg. No. 36698)
John P. Veschi	(Reg. No. 39058)

David Volejnicek	(Reg. No. 29355)
Charles L. Warren	(Reg. No. 27407)
Jeffrey M. Weinick	(Reg. No. 36304)
Eli Weiss	(Reg. No. 17765)

I hereby appoint the attorney(s) on ATTACHMENT A as associate attorney(s) in the aforementioned application, with full power solely to prosecute said application, to make alterations and amendments therein, to receive the patent, and to transact all business in the Patent and Trademark Office connected with the prosecution of said application. No other powers are granted to such associate attorney(s) and such associate attorney(s) are specifically denied any power of substitution or revocation.

Full name of 1st joint inventor: Edward J. Bortolini

Inventor's
signature _____



Date _____

11/19/2000

Residence: 18 Shady Hollow
Nederland, CO 80466

Citizenship: USA

Full name of 2nd joint inventor: Chia Chang Li

Inventor's
signature _____

Date _____

Residence: 26 Longview Drive
Holmdel, NJ 07733

Citizenship: USA

Full name of 3rd joint inventor: Roger W. Loots

Inventor's
signature _____

Date _____

Residence: 3515 Buffalo Avenue
Broomfield, CO 80020

Citizenship: USA

ATTACHMENT A

Attorney Name(s): James M. Graziano Reg. No.: 28,300

Telephone calls should be made to **James M. Graziano** at:

Phone No.: 303-379-1100

Fax No.: 303-379-1155

All written communications are to be addressed to:

Customer Number 024283

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

Declaration and Power of Attorney

As the below named inventor, I hereby declare that:

My residence and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **DISTRIBUTED BROADBAND CABLE MODEM TERMINATION SYSTEM** the specification of which *is attached hereto*.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment, if any, specifically referred to in this oath or declaration.

I acknowledge the duty to disclose all information known to me which is material to patentability as defined in Title 37, Code of Federal Regulations, 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

None

I hereby claim the benefit under Title 35, United States Code, 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

None

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the following attorney(s) with full power of substitution and revocation, to prosecute said application, to make alterations and amendments therein, to receive the patent, and to transact all business in the Patent and Trademark Office connected therewith:

Thomas J. Bean	(Reg. No. 44528)
Lester H. Birnbaum	(Reg. No. 25830)
Richard J. Botos	(Reg. No. 32016)
Jeffery J. Brosemer	(Reg. No. 36096)
Kenneth M. Brown	(Reg. No. 37590)
Donald P. Dinella	(Reg. No. 39961)
Guy Eriksen	(Reg. No. 41736)
Martin I. Finston	(Reg. No. 31613)
William S. Francos	(Reg. No. 38456)
Barry H. Freedman	(Reg. No. 26166)
Julio A. Garceran	(Reg. No. 37138)
Jimmy Goo	(Reg. No. 36528)
Anthony Grillo	(Reg. No. 36535)
Stephen M. Gurey	(Reg. No. 27336)
John M. Harman	(Reg. No. 38173)
Matthew J. Hodulik	(Reg. No. 36164)
Michael B. Johannesen	(Reg. No. 35557)
Mark A. Kurisko	(Reg. No. 38944)
Irena Lager	(Reg. No. 39260)
John B. MacIntyre	(Reg. No. 41170)
Christopher N. Malvone	(Reg. No. 34866)
Scott W. McLellan	(Reg. No. 30776)
Martin G. Meder	(Reg. No. 34674)
John C. Moran	(Reg. No. 30782)
Michael A. Morra	(Reg. No. 28975)
Gregory J. Murgia	(Reg. No. 41209)
Claude R. Narcisse	(Reg. No. 38979)
Joseph J. Opalach	(Reg. No. 36229)
Neil R. Ormos	(Reg. No. 35309)
Eugen E. Pacher	(Reg. No. 29964)
Jack R. Penrod	(Reg. No. 31864)
Gregory C. Ranieri	(Reg. No. 29695)
Scott J. Rittman	(Reg. No. 39010)
Ferdinand M. Romano	(Reg. No. 32752)
Eugene J. Rosenthal	(Reg. No. 36658)
Bruce S. Schneider	(Reg. No. 27949)
Ronald D. Slusky	(Reg. No. 26585)
David L. Smith	(Reg. No. 30592)
Ozer M. N. Teitelbaum	(Reg. No. 36698)
John P. Veschi	(Reg. No. 39058)

David Volejnicek	(Reg. No. 29355)
Charles L. Warren	(Reg. No. 27407)
Jeffrey M. Weinick	(Reg. No. 36304)
Eli Weiss	(Reg. No. 17765)

I hereby appoint the attorney(s) on ATTACHMENT A as associate attorney(s) in the aforementioned application, with full power solely to prosecute said application, to make alterations and amendments therein, to receive the patent, and to transact all business in the Patent and Trademark Office connected with the prosecution of said application. No other powers are granted to such associate attorney(s) and such associate attorney(s) are specifically denied any power of substitution or revocation.

Full name of 1st joint inventor: Edward J. Bortolini

Inventor's
signature _____ Date _____

Residence: 18 Shady Hollow
Nederland, CO 80466

Citizenship: USA

Full name of 2nd joint inventor: Chia Chang Li

Inventor's
signature  _____ Date 12/19/2000

Residence: 26 Longview Drive
Holmdel, NJ 07733

Citizenship: USA

Full name of 3rd joint inventor: Roger W. Loots

Inventor's
signature _____ Date _____

Residence: 3515 Buffalo Avenue
Broomfield, CO 80020

Citizenship: USA

Attorney Name(s): James M. Graziano Reg. No.: 28,300

Phone No.: 303-379-1100

Fax No.: 303-379-1155

Customer Number 024283

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

Declaration and Power of Attorney

As the below named inventor, I hereby declare that:

My residence and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **DISTRIBUTED BROADBAND CABLE MODEM TERMINATION SYSTEM** the specification of which *is attached hereto*.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment, if any, specifically referred to in this oath or declaration.

I acknowledge the duty to disclose all information known to me which is material to patentability as defined in Title 37, Code of Federal Regulations, 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

None

I hereby claim the benefit under Title 35, United States Code, 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

None

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the following attorney(s) with full power of substitution and revocation, to prosecute said application, to make alterations and amendments therein, to receive the patent, and to transact all business in the Patent and Trademark Office connected therewith:

Thomas J. Bean	(Reg. No. 44528)
Lester H. Birnbaum	(Reg. No. 25830)
Richard J. Botos	(Reg. No. 32016)
Jeffery J. Brosemer	(Reg. No. 36096)
Kenneth M. Brown	(Reg. No. 37590)
Donald P. Dinella	(Reg. No. 39961)
Guy Eriksen	(Reg. No. 41736)
Martin I. Finston	(Reg. No. 31613)
William S. Francos	(Reg. No. 38456)
Barry H. Freedman	(Reg. No. 26166)
Julio A. Garceran	(Reg. No. 37138)
Jimmy Goo	(Reg. No. 36528)
Anthony Grillo	(Reg. No. 36535)
Stephen M. Gurey	(Reg. No. 27336)
John M. Harman	(Reg. No. 38173)
Matthew J. Hodulik	(Reg. No. 36164)
Michael B. Johannesen	(Reg. No. 35557)
Mark A. Kurisko	(Reg. No. 38944)
Irena Lager	(Reg. No. 39260)
John B. MacIntyre	(Reg. No. 41170)
Christopher N. Malvone	(Reg. No. 34866)
Scott W. McLellan	(Reg. No. 30776)
Martin G. Meder	(Reg. No. 34674)
John C. Moran	(Reg. No. 30782)
Michael A. Morra	(Reg. No. 28975)
Gregory J. Murgia	(Reg. No. 41209)
Claude R. Narcisse	(Reg. No. 38979)
Joseph J. Opalach	(Reg. No. 36229)
Neil R. Ormos	(Reg. No. 35309)
Eugen E. Pacher	(Reg. No. 29964)
Jack R. Penrod	(Reg. No. 31864)
Gregory C. Ranieri	(Reg. No. 29695)
Scott J. Rittman	(Reg. No. 39010)
Ferdinand M. Romano	(Reg. No. 32752)
Eugene J. Rosenthal	(Reg. No. 36658)
Bruce S. Schneider	(Reg. No. 27949)
Ronald D. Slusky	(Reg. No. 26585)
David L. Smith	(Reg. No. 30592)
Ozer M. N. Teitelbaum	(Reg. No. 36698)
John P. Veschi	(Reg. No. 39058)

David Volejnicek	(Reg. No. 29355)
Charles L. Warren	(Reg. No. 27407)
Jeffrey M. Weinick	(Reg. No. 36304)
Eli Weiss	(Reg. No. 17765)

I hereby appoint the attorney(s) on ATTACHMENT A as associate attorney(s) in the aforementioned application, with full power solely to prosecute said application, to make alterations and amendments therein, to receive the patent, and to transact all business in the Patent and Trademark Office connected with the prosecution of said application. No other powers are granted to such associate attorney(s) and such associate attorney(s) are specifically denied any power of substitution or revocation.

Full name of 1st joint inventor: Edward J. Bortolini

Inventor's
signature _____ Date _____

Residence: 18 Shady Hollow
Nederland, CO 80466

Citizenship: USA

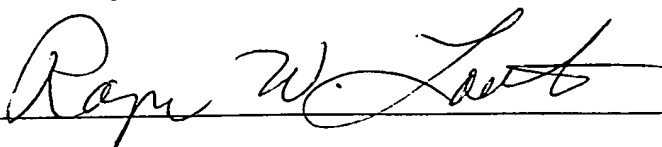
Full name of 2nd joint inventor: Chia Chang Li

Inventor's
signature _____ Date _____

Residence: 26 Longview Drive
Holmdel, NJ 07733

Citizenship: USA

Full name of 3rd joint inventor: Roger W. Loots

Inventor's
signature  _____ Date 12/27/2000

Residence: 3515 Buffalo Avenue
Broomfield, CO 80020

Citizenship: USA

ATTACHMENT A

Attorney Name(s): James M. Graziano Reg. No.: 28,300

Telephone calls should be made to **James M. Graziano** at:

Phone No.: 303-379-1100

Fax No.: 303-379-1155

All written communications are to be addressed to:

Customer Number 024283

13436.235
6146/133



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

JULY 30, 2001

PTAS



101717233A

PATTON BOGGS, LLP
JAMES M. GRAZIANO
P.O. BOX 270930
LOUISVILLE, CO 80027

AUG - 6 2001

**UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/07/2001

REEL/FRAME: 011788/0313
NUMBER OF PAGES: 7

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

BORTOLINI, EDWARD J.

DOC DATE: 12/04/2000

ASSIGNOR:

LI, CHIA CHANG

DOC DATE: 12/12/2000

ASSIGNOR:

LOOTS, ROGER W.

DOC DATE: 01/15/2001

ASSIGNEE:

LUCENT TECHNOLOGIES, INC.
600 MOUNTAIN AVENUE (ROOM 3C-512)
P.O. BOX 636
MURRAY HILL, NEW JERSEY 07974-0636

SERIAL NUMBER: 09766736

FILING DATE: 01/22/2001

PATENT NUMBER:

ISSUE DATE:

Date Docketed: 8/6/01

Docketed by: A

Sec: EMD

Atty: JMG

EXHIBIT B

J11788/0313 PAGE 2

LAZENA MARTIN, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

FORM PTO-1619A

Expires 06/30/93
OMB 0651-0027U.S. Department of Commerce
Patent and Trademark Office
PATENT**RECORDATION FORM COVER SHEET
PATENTS ONLY**

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

- ☒ New
- ☐ Resubmission (Non-Recordation)
Document ID#
- ☐ Correction of PTO Error
Reel # Frame #
- ☐ Corrective Document
Reel # Frame #

Conveyance Type

- ☒ Assignment ☐ Security Agreement
- ☐ License ☐ Change of Name
- ☐ Merger ☐ Other

U.S. Government

(For Use ONLY by U.S. Government Agencies)

☐ Departmental File ☐ Secret File**Conveying Party(ies)**☒ Mark if additional names of conveying parties attachedName (line 1) Execution Date
Month Day Year
Name (line 2) **Second Party**Name (line 1) Execution Date
Month Day Year
Name (line 2) **Receiving Party**☐ Mark if additional names of receiving parties attachedName (line 1) ☐ If document to be recorded
is an assignment and the
receiving party is not
domiciled in the United
States, an appointment
of a domestic
representative is attached.
(Designation must be a
separate document from
Assignment.)Name (line 2) Address (line 1) Address (line 2) Address (line 3)

City

State/Country

Zip Code

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name Address (line 1) Address (line 2) Address (line 3) Address (line 4) **FOR OFFICE USE ONLY**

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

Correspondent Name and Address

Area Code and Telephone Number (303) 379-1113

Name James M. Graziano

Address (line 1) Duft, Graziano & Forest, P.C.

Address (line 2) P.O. Box 270930

Address (line 3)

Address (line 4) Louisville, CO 80027

PagesEnter the total number of pages of the attached conveyance document
including any attachments.

4

Application Number(s) or Patent Number(s)☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)**Patent Number(s)**

If this document is being filed together with a new Patent Application, enter the date the patent application was
signed by the first named executing inventor.Month Day Year
11 19 2000**Patent Cooperation Treaty (PCT)**

Enter PCT application number

only if a U.S. Application Number
has not been assigned.PCT PCT PCT
PCT PCT PCT**Number of Properties**

Enter the total number of properties involved.

1

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:

Enclosed ☐Deposit Account ☒

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

12-2325

Authorization to charge additional fees:

Yes ☒No ☐**Statement and Signature**

To the best of my knowledge and belief, the foregoing information is true and correct and any
attached copy is a true copy of the original document. Charges to deposit account are authorized, as
indicated herein.

James M. Graziano

Name of Person Signing

Signature

22 January 2001
Date

ASSIGNMENT AND AGREEMENT

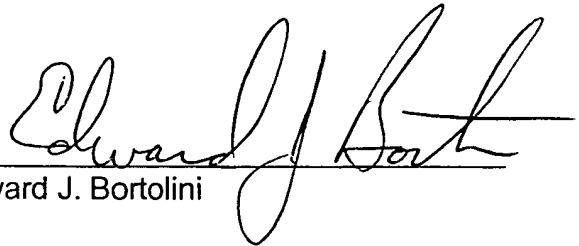
For value received, we, Edward J. Bortolini of Nederland in the County of Boulder and State of Colorado, Chia Chang Li of Holmdel in the County of Monmouth and State of New Jersey, and Roger W. Loots of Broomfield in the County of Adams and State of Colorado, hereby sell, assign and transfer to Lucent Technologies Inc., a corporation of the State of Delaware, having an office at 600 Mountain Avenue, Murray Hill, New Jersey 07974-0636, U.S.A., and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions related to **DISTRIBUTED BROADBAND CABLE MODEM TERMINATION SYSTEM** described in an application for Letters Patent of the United States, executed by us of even date herewith, and all the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and we also concurrently hereby sell, assign and transfer to Lucent Technologies Inc. the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

We authorize Lucent Technologies Inc. to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

We hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of Lucent Technologies Inc. to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

We request that any and all patents for said inventions be issued to Lucent Technologies Inc. in the United States and in all countries foreign to the United States, or to such nominees as Lucent Technologies Inc. they may designate.

We agree that, when requested, we shall, without charge to Lucent Technologies Inc. but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.


Edward J. Bortolini

Date: 12-4-00

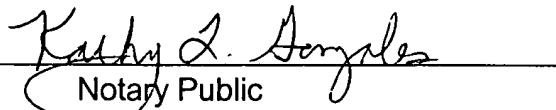
United States of America)

State of Colorado) ss.:

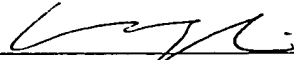
County of Boulder)

On this 4th day of December, 2000, before me personally came Edward J. Bortolini, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

My Commission Expires April 7, 2004


Notary Public
4775 Walnut Street
Boulder, CO 80301

Lucent Technologies Inc.
600 Mountain Avenue (Room 3C-512)
P. O. Box 636
Murray Hill, New Jersey 07974-0636


Chia Chang Li

Date: 12-12-00

United States of America)


State of New Jersey) ss.:

County of Mumouth)

On this 12TH day of Dec, 2000, before me personally came Chia Chang Li, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.


Notary Public

MARY L. BENSON
Notary Public of New Jersey
My Commission Expires June 3, 2004


Roger W. Loots

Date: 01/15/2001

United States of America)

State of Colorado) ss.:

County of Adams)

On this 15th day of January, 200~~0~~¹, before me personally came Roger W. Loots, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.


Notary Public

BARBARA COSTEY, Notary Public
1200 W. 120th Avenue
Westminster, CO 80234
My Commission Expires 3/17/2004

Lucent Technologies Inc.
600 Mountain Avenue (Room 3C-512)
P. O. Box 636
Murray Hill, New Jersey 07974-0636



EMPLOYEE AGREEMENT REGARDING INTELLECTUAL PROPERTY

IN CONSIDERATION of my employment by AMERICAN TELEPHONE AND TELEGRAPH COMPANY or any of its affiliates (hereinafter "AT&T"), and my continued employment during such time as may be mutually agreeable, and of the opportunity to receive AT&T private or proprietary information, and other good and valuable consideration:

- A. I hereby assign and agree to assign to my employer all my right, title and interest in and to all inventions, discoveries, improvements, ideas, computer or other apparatus programs and related documentation, and other works of authorship (hereinafter each designated "Intellectual Property"), whether or not patentable, copyrightable or subject to other forms of protection, made, created, developed, written or conceived by me during the period of such employment, whether during or outside of regular working hours, either solely or jointly with another, in whole or in part, either
1. in the course of such employment, or
 2. relating to the actual or anticipated business or research or development of AT&T, or
 3. with the use of AT&T's time, material, private or proprietary information, or facilities;
- B. I will, without charge to my employer but at its expense, execute a specific assignment of title to AT&T and do anything else reasonably necessary to enable AT&T to secure a patent, copyright or other form of protection for said Intellectual Property anywhere in the world;
- C. I further agree that I will keep in confidence and will not, except as required in the conduct of AT&T's business or as authorized in writing on behalf of AT&T, publish, disclose or use, during and after the period of my employment, any private or proprietary information which I may in any way acquire, learn, develop or create by reason of my employment;
- D. I further agree that this Agreement does not constitute a contract of employment; and
- E. I acknowledge that the copyrights in Intellectual Property created within the scope of my employment, belong to AT&T by operation of law.

Signature

Name (Print)

E.J. Bortolin

Payroll Account No.

090737

Date

3-1-91

Lucent Technologies
Bell Labs Innovations



LT73-1460
(7/97)

EMPLOYEE AGREEMENT REGARDING INTELLECTUAL PROPERTY

In consideration of my employment by Lucent Technologies Inc. or any of its affiliates (hereinafter "Lucent Technologies"), and my continued employment during such time as may be mutually agreeable, and of the opportunity to receive Lucent Technologies private or proprietary information, and other good and valuable consideration:

- A. I hereby assign and agree to assign to Lucent Technologies all my right, title and interest in and to all inventions, discoveries, improvements, ideas, mask works, computer or other apparatus programs and related documentation, and other works of authorship (hereinafter each designated "Intellectual Property"), whether or not patentable, copyrightable or subject to other forms of protection, made, created, developed, written or conceived by me during the period of such employment, whether during or outside of regular working hours, either solely or jointly with another, in whole or in part, either:
1. In the course of such employment, or
 2. Relating to the actual or anticipated business or research or development of Lucent Technologies, or
 3. With the use of Lucent Technologies time, material, private or proprietary information, or facilities.
- B. I will, without charge to Lucent Technologies but at its expense, execute a specific assignment of title to Lucent Technologies and do anything else reasonably necessary to enable Lucent Technologies to secure a patent, copyright or other form of protection for said Intellectual Property anywhere in the world.
- C. I further agree that I will keep in confidence and will not, except as required in the conduct of Lucent Technologies business or as authorized in writing on behalf of Lucent Technologies, publish, disclose or use, during and after the period of my employment, any private or proprietary information which I may in any way acquire, learn, develop or create by reason of my employment.
- D. I further agree that this Agreement does not constitute a contract of employment.
- E. I acknowledge that the copyrights in Intellectual Property created within the scope of my employment, belong to Lucent Technologies by operation of law.

98-5874

<u>CHY 2</u>	<u>CHYI-CHANG LI</u>	<u>7/27/98</u>
Employee Signature	Employee Name (Print)	Date
<u>077-66-1777</u>	<u>Bell Labs</u>	<u>Holmdel, NJ</u>
Social Security No.	Lucent Technologies BU	Work Location

For Lucent Technologies Use Only
Employee Agreements Regarding Intellectual Property should be sent to:
IP-Law Service Room
Room 3J-219
101 Crawfords Corner Road
Holmdel, NJ 07733

Questionnaire to be Submitted to Employees Returning from
~~Military Leave of Absence~~

Educational

Please answer "Yes" or "No" to the following questions:

1. During your leave of absence did you make or conceive any inventions relating to subject matter which might be of interest to the Bell System?

No

2. Did you make any agreement or commitments with respect to inventions made while on leave of absence which may conflict with the reinstatement of your existing agreement with Bell Laboratories to assign inventions?

No

Signature

Regis W. Last

Date

19 May 81

FF-81-308

IN CONSIDERATION of my employment by said Corporation, during such time as may be mutually agreed upon between said Corporation and myself, I hereby assign and agree to assign to said Corporation, its successors or assigns, all my rights in those items which, during the period of my employment by said Corporation or by its successors in business, I have made or conceived or may hereafter make or conceive, either solely or jointly with others, in the course of such employment, or with the use of said Corporation's time, material or facilities, or relating to any subject matter with which said Corporation is or may be concerned; and I further agree without charge to said Corporation, but at its expense, to execute, acknowledge and deliver all such further papers, including applications for patents, as may be necessary to obtain patents for said inventions in any and all countries and to vest title thereto in said Bell Telephone Laboratories, Incorporated, its successors or assigns.

WITNESS my hand and seal this 2nd day of July, 1928

Reg. M. Lantz (Seal)

WITNESS

Terrence C. Cook

Please also

I. Have y

1.

2.

3.

II. Some
ventilo
ment
curren
tions
agree

BELL TELEPHONE LABORATORIES

Circle either "Yes" or "No" to the following questions:

8. Have you met any persons:

1. upon which a patent or patents have been granted;
2. upon which applications for patent have been made and are still pending;
3. upon which no applications for patent have as yet been filed;

11. Some companies require the assignment of inventions by employees both during their employment and for a period of time after. Are you currently under any obligation to assign inventions to a prior employer because of such an agreement?

Summary

Date: _____

I, JOHN J. O'NEILL, Clerk of the Court,
do hereby certify that the within and foregoing is a true and correct copy of the original as the same appears from the records of said Court.
In testimony whereof, I have hereunto set my hand and the seal of said Court at New York, this 14th day of January, 1904.
JOHN J. O'NEILL, Clerk of the Court.
By JOHN J. O'NEILL, Clerk of the Court.

馬克思主義者

1995